



Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section: Legal Section

Division: Office of the Director

Sub-Section:

TITLE: Enforcement Case Files -- All Other Documents

CUTOFF:EOCY

DESCRIPTION: Disciplinary files and other records concerning disciplinary actions imposed upon agents, agencies, and insurance companies, such as administrative actions against a licensee's license or an insurance company's certificate to do insurance business in Missouri or an action (administrative or civil) to enjoin improper or illegal conduct by either licensees or insurers.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22593

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010

TITLE: Enforcement Case Files -- Final Orders

CUTOFF:EOCY

DESCRIPTION: Orders by the Director in regard to disciplinary actions, indicating what disciplinary action the Department will take against a licensee, applicant, or insurer. These Orders are part of the Disciplinary file, but are retained longer because they contain concise summaries of evidence, and conclusions of law, which are important to document precedent and as a reference when planning future actions.

RETENTION: Years: 0 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22592

SERIES STATUS: Approved

APPROVAL DATE:

8/2/2007

TITLE: Legal Inquiry Files

CUTOFF:EOCY

DESCRIPTION: Miscellaneous research and correspondence related to legal inquiries.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22595

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010



Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section: Legal Section

Division: Office of the Director

Sub-Section:

TITLE: No-Action Letters

CUTOFF:EOCY

DESCRIPTION: Response to and analysis of industry concerns regarding compliance. These are interpretive letters issued to a requesting party relative to a given fact pattern. They analyze compliance with the insurance laws of this state and, if issued, will effectively state that the Department will take no disciplinary action against a person or company doing whatever it is that the requestor hypothesizes. Records may be retained until no longer needed as evidence of precedent or as reference for crafting future decisions.

RETENTION: Years: 0 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22596

SERIES STATUS: Approved

APPROVAL DATE:

8/2/2007

TITLE: Service of Process Files

CUTOFF:EOCY

DESCRIPTION: Files to retain affidavits of service of process. The Department serves as the agent for some insurance companies for purposes of accepting service of process. Service is a critical component to any lawsuit; without proper delivery (or "service") of a summons to a named party, the named party may not be subject to a court's jurisdiction.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22594

SERIES STATUS: Approved

APPROVAL DATE:

9/8/2010
